

**ORDER**

U.S. DEPARTMENT OF TRANSPORTATION  
FEDERAL AVIATION ADMINISTRATION

1800.60A

9/27/90

**SUBJ: AIRCRAFT CERTIFICATION SERVICE EVALUATION PROGRAM**

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1. **PURPOSE.** This order describes the philosophy and procedures to be used in conducting the Aircraft Certification Service Evaluation Program.
2. **DISTRIBUTION.** This order is distributed to the branch level in the Washington Headquarters offices of the Aircraft Certification Service; the branch level in the Aircraft Certification Directorate offices; the Brussels Aircraft Certification Division; all Aircraft Certification Offices and Field Offices; all Manufacturing Inspection District Offices; all Manufacturing Inspection Satellite Offices; and, the Engineering and Manufacturing Branch, AVN-110, in the Aviation Standards National Field Office.
3. **CANCELLATION.** Order 1800.60, Aircraft Certification Program Evaluation System, dated August 10, 1988, is cancelled.
4. **BACKGROUND.** This order incorporates changes to the evaluation program resulting from the issuance of Order 1800.52D, Regulatory Standards and Compliance Evaluation Program, September 18, 1989, which describes the philosophy, purpose, and procedures to be used in conducting the Regulatory Standards and Compliance Evaluation Program. Order 1800.52D requires program offices to review and evaluate programs in their functional areas. It also provides specific information for program offices to implement the requirements of Order 1800.2E, Evaluation and Appraisal of Agency Programs, February 1, 1989, which establishes policies and guidelines for internal reviews and evaluations of agency programs.  
  
In addition, the Aircraft Certification Service is incorporating the principles of Total Quality Management into its work and management practices, with an inherent focus on "meeting the needs of the customer." The Aircraft Certification Service Evaluation Program will, to the extent feasible, use processes to survey our customers to obtain feedback on the performance and effectiveness of various programs within the Aircraft Certification Service.
5. **SCOPE.** This order applies to the internal review and evaluation of any program within the Aircraft Certification Service, including the Aircraft Certification Directorates and their field organizations; and, the Brussels Aircraft Certification Division. This order applies to national evaluations conducted by the Aircraft Certification Service (AIR) Evaluation Officer in the Program Planning and Analysis Branch, AIR-510, and field evaluations within directorates which are led by directorate evaluation officers or other personnel, as appropriate.

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Distribution: A-W(IR/FS/PR/VN)-3; A-X(CD/FS)-3;  
AEU-100; A-FAC-0(SUPV)

Initiated By: AIR-510

6. PHILOSOPHY. The Aircraft Certification Service Evaluation Program will:

a. Support aviation safety and overall agency goals and objectives by providing management with information necessary to improve the effectiveness and standardization of the implementation of Aircraft Certification Service programs.

b. Incorporate Total Quality Management principles into the evaluation program by using a team effort composed of Aircraft Certification Regulatory Program employees, and where possible, the aviation community, to focus on meeting the needs of various customers.

c. Incorporate the use of quantitative techniques to analyze Aircraft Certification Service programs to identify and measure key areas for continuous improvement.

7. OBJECTIVES. The Aircraft Certification Service Evaluation Program will:

a. Assess the overall effectiveness and efficiency of Aircraft Certification Service programs;

b. Promote program standardization through assessing adherence to and the adequacy of national technical and procedural policy or guidance contained in rules, action notices, agency directives, etc.;

c. Identify areas where improvement or revision is needed to national technical and procedural policy or guidance;

d. Promote increased efficiency, effectiveness, and quality in managing and operating programs within the Aircraft Certification Service.

e. Assess the program planning, monitoring, and resource management within the Aircraft Certification Service as they relate to overall mission accomplishment.

f. Promote the development and implementation of uniform compliance evaluations of programs by the directorates and Washington headquarters.

8. DESCRIPTION OF THE AIRCRAFT CERTIFICATION SERVICE EVALUATION PROGRAM.

Evaluation of the programs within the Aircraft Certification Service is an integral management responsibility of the Director, Aircraft Certification Service, AIR-1, the managers of the certification directorates, the manager of the Brussels Aircraft Certification Division, and the managers of the Washington headquarters' divisions. The evaluation program is a tool which may be useful in developing national policies, guidelines, standards, and procedures for all Aircraft Certification Service organizational elements. Also, the evaluation program is essential for determining the overall effectiveness of the Aircraft Certification Service in meeting the needs of the agency and its various customers. The Aircraft Certification Service Evaluation Program is comprised of the following functions:

a. Effectiveness evaluations. These identify and analyze program objectives, measure the extent to which those objectives are being achieved, assess management effectiveness, and identify recommendations to improve program operation and quality, including changes to national policies, procedures, or regulations. The AIR Evaluation Officer in the Program Planning and Analysis Branch, AIR-510, will primarily conduct effectiveness evaluations, with assistance from technically qualified team members drawn from the Aircraft Certification Service, and where appropriate, from other organizations within the Agency. To the extent feasible, these evaluations will also attempt to incorporate assessments of how well a given program is meeting the needs of its various internal and external customers.

b. Compliance evaluations. These measure the extent to which directorate and field offices implement and operate programs in accordance with national policy, procedures, or regulation. Compliance evaluations will be conducted primarily by the certification directorates, with some assistance from technically qualified team members drawn from other directorates whose organizations are not being evaluated.

c. Special studies. Special studies consist of an evaluation conducted by the AIR Evaluation Officer, ad hoc personnel from the Aircraft Certification Service, or possibly other agency employees and/or consultants. Special studies will be conducted when evaluations greater in scope and depth than that attainable by the usual evaluation process are required.

d. Quantitative measurement. The evaluation program will, where feasible, incorporate the use of quantitative techniques to analyze Aircraft Certification Service programs to identify and measure key areas for continuous improvement. These techniques will attempt to quantify the impact of implemented actions resulting from evaluations of programs.

9. RESPONSIBILITIES. The assignment of responsibilities under this program is as follows:

a. Director, Aircraft Certification Service, AIR-1, will:

(1) Designate an evaluation officer to plan, coordinate, and administer the Service's evaluation program.

(2) Make the final decisions on the selection of national evaluations and the acceptance of action plans resulting from such evaluations.

b. AIR Evaluation Officer, AIR-510, will:

(1) Plan, coordinate, and administer the Aircraft Certification Service Evaluation Program.

(2) Ensure that the evaluation program is in agreement with the Agency's evaluation orders.

(3) Develop an annual aircraft certification program evaluation plan and coordinate the plan with the Aircraft Certification Management Team.

(4) Develop a time schedule for each evaluation and coordinate the schedule with all appropriate officials. Organizations to be evaluated should normally be notified 3 months in advance.

(5) Ensure that evaluations are conducted in a manner that conserves resources and minimizes the resources impact of those organizations being evaluated.

(6) Advise the Director, Aircraft Certification Service, AIR-1, on decisions for acceptance of action plans after each evaluation; and, establish and utilize a system for tracking evaluation findings, recommendations, and action items.

(7) Submit, within 45 working days after completing data collection, final evaluation reports to the Director, Aircraft Certification Service, AIR-1, and the Manager, Planning and Program Management Division, AIR-500. The Manager, Planning and Program Management Division, AIR-500, will send the final report to the manager of the organization evaluated.

Note: In some cases, a draft report may be coordinated with the organization evaluated to ensure the accuracy of technical data. Report findings are not negotiable. Disagreements with recommendations or findings shall be handled during the follow up phase.

(8) Prepare a quarterly report for the Deputy Director, Aircraft Certification Service, AIR-2, on the status of evaluations conducted. Also develop the Aircraft Certification Evaluation Program's accomplishments during the fiscal year, ensuring submission to the Office of Program and Resource Management by the required date.

(9) Work with the managers responsible for national policy and procedures, and the directorate evaluation officers, to develop unified data collection instruments to be used by each directorate for conducting program compliance evaluations. These collection instruments will attempt to cover key areas of national interest, and provide the means to obtain consistent data collection, facilitating the compilation of a national data base for each program.

(10) Provide consulting services and advice to organizations within the Aircraft Certification Service to aid in evaluation design, data collection methodology selection, and data interpretation.

(11) Monitor the effectiveness of directorate compliance evaluation activities and, as necessary, conduct a formal effectiveness evaluation of program compliance evaluation activities.

c. Directorate Managers and/or Division Managers will:

(1) Designate an evaluation officer for the directorates to plan, coordinate, and administer the directorate's evaluation program, and coordinate evaluation information with the AIR Evaluation Officer. The directorate evaluation officer shall notify the regional administrators of any scheduled evaluations within their region.

(2) Prior to the start of any evaluation activity, provide the evaluation team with summary information pertinent to the organization and program to be evaluated and any other information which will assist the evaluation team.

(3) Within 30 working days after receipt of the final national evaluation report, advise the Director, Aircraft Certification Service, AIR-1, on what actions have been taken or planned in response to the evaluation findings and recommendations. Subsequent reports shall be submitted quarterly, with all actions being resolved within the agreed upon time frames established in the action plan.

(4) Support the evaluation program by providing people to serve as team members and other resources, such as travel funds and meeting space, for evaluations.

(5) Work with managers responsible for national policy and procedures and the AIR Evaluation Officer to develop appropriate compliance evaluation criteria and collection instruments. These evaluation criteria and collection instruments will be used by each of the directorates to promote standardized compliance evaluations.

10. CONDUCTING EVALUATIONS AND PREPARING REPORTS.

a. Evaluations will normally be conducted and reports prepared following the guidelines in Appendix 1 of Order 1800.52D.

b. Each evaluation report shall be marked - "FOR OFFICIAL USE ONLY" (public availability to be determined under 5 U.S.C. 551) - unless otherwise authorized. Requests for disclosure must be handled in accordance with Order 1200.23, Public Availability of Information, and Order 1600.15D, Control and Protection of "FOR OFFICIAL USE ONLY" Information. Classified information shall not be included in evaluation reports.



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